



HAMILTON, BROOK, SMITH & REYNOLDS, P.C. #3

APR 05 2002

**POWER OF ATTORNEY OR  
AUTHORIZATION OF AENT AND  
CORRESPONDENCE ADDRESS**

<i>Application Number</i>	10/044,760
<i>Filing Date</i>	January 10, 2002
<i>First Named Inventor</i>	Steven I. Ross
<i>Group Art Unit</i>	2654
<i>Examiner Name</i>	
<i>Attorney Docket Number</i>	1280.2004-000 (LOT8-2001-0005)

I/We hereby appoint

the attorneys/agents associated with Customer No. 021005  
 Practitioner(s) named below:

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as my/our attorneys/agents to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

The correspondence address for the above-identified application is:

Customer Number 021005  
Hamilton, Brook, Smith & Reynolds, P.C.  
530 Virginia Road  
P.O. Box 9133  
Concord, Massachusetts 01742-9133

Other \_\_\_\_\_  
\_\_\_\_\_

Please direct all telephone calls and facsimiles to:

Name Mary Lou Wakimura, Esq. Tel. No. 978-341-0036 Fax No. 978-341-0136

I am the:

Applicant/Inventor.  
 Authorized representative of the Assignee of the entire interest. See 37 C.F.R. 3.71. A Statement under 37 C.F.R. §3.73(b) is enclosed.  
 Authorized representative of an assignee together with [ ] of the entire interest. A separate Statement under 37 C.F.R. § 3.73(b) is enclosed.

**SIGNATURE of Applicant or Assignee of Record**

Name	Stephen Keohane, Esq.
Signature	<u>Stephen Keohane</u>
Date	<u>3/19/2002</u>

Total of [ 1 ] form is submitted.

HAMILTON  
BROOK  
SMITH &  
REYNOLDS, P.C.

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530 VIRGINIA ROAD  
P.O. BOX 9133  
CONCORD, MA 01742-9133  
TEL (978) 341-0036  
FAX (978) 341-0136  
[www.hbsr.com](http://www.hbsr.com)

MUNROE H. HAMILTON  
(1906-1984)

DAVID E. BROOK  
JAMES M. SMITH  
LEO R. REYNOLDS  
JOHN L. DUPRÉ  
DAVID J. BRODY  
MARY LOU WAKIMURA  
ALICE O. CARROLL  
N. SCOTT PIERCE  
HELEN E. WENDLER  
SUSAN G. L. GLOVSKY  
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MARK B. SOLOMON  
J. SCOTT SOUTHWORTH  
A. CRISTINA TAYLOR  
JON C. TRACHTENBERG  
DARRELL L. WONG  
\* NOT ADMITTED IN MASS.

OF COUNSEL  
RICHARD A. WISE  
ANNE I. CRAIG  
ELIZABETH W. MATA

SUPERVISING PATENT AGENT  
CAROLYN S. ELMORE

PATENT AGENTS  
SUSAN M. ABELLEIRA  
SANDRA A. BROCKMAN  
THERESA A. DEVLIN  
CAROLINE M. FLEMING  
MARY K. MURRAY  
PAMELA A. TORPEY  
ROBERT H. UNDERWOOD

TECHNOLOGY SPECIALISTS  
PAUL G. ALLOWAY  
KELLIE L. CARDEN  
COLIN C. DURHAM  
JESSE A. PECKER  
JOSEPH M. MARALA  
DAVID RUCANDO  
VIVIEN TANNOCH  
KAREN J. TOWNSEND  
BRIAN P. TURANO  
MICHAEL M. YAMAUCHI  
JOSEPH C. ZUCCHERO

MICHAEL KEWESHAN  
ADMINISTRATIVE DIRECTOR  
BARBARA J. PORQUE  
ADMINISTRATOR OF  
PATENT AND  
TRADEMARK PRACTICE



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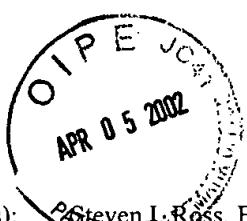
## ANNOUNCEMENT

Please note that Hamilton, Brook, Smith & Reynolds, P.C.,  
has relocated.

Effective immediately, our new postal address and contact  
numbers are as follows:

Hamilton, Brook, Smith & Reynolds, P.C.  
530 Virginia Road  
P.O. Box 9133  
Concord, Massachusetts 01742-9133  
USA

Telephone: (978) 341-0036  
Facsimile: (978) 341-0136



Docket No. 1280.2004-000 (LOT8-2001-0005)

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Applicant(s): Steven L. Ross, Elizabeth A. Brownholtz and Jeffrey G. MacAllister

Application No.: 10/044,760 Filed: January 10, 2002

For: METHOD AND APPARATUS FOR CONVERTING UTTERANCE REPRESENTATIONS INTO ACTIONS IN A CONVERSATIONAL SYSTEM

International Business Machines Corporation, a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is

A.  the assignee of the entire right, title and interest in the patent application identified above; or  
B.  an assignee together with [ ] of the entire right, title and interest in the patent application identified above. A separate Statement under 37 CFR § 3.73(b) is being submitted.

The right, title and interest of the above-named assignee in the patent application identified above is established by virtue of:

A.  An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.

OR

B.  A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a copy thereof is attached.

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[ ] Additional documents in the chain of title are listed on a supplemental sheet.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date: 3/19/2002

Name: Stephen Keohane, Esq.

Title: IP Counsel

Signature: Stephen Keohane

ASSIGNMENT

WHEREAS, we, **Steven I. Ross, Elizabeth A. Brownholtz and Jeffrey G. MacAllister** have invented a certain improvement in **Method and Apparatus for Converting Utterance Representations into Actions in a Conversational System**, described in an application for Letters Patent of the United States, the specification of which:

[ X ] is being executed on even date herewith and is about to be filed in the United States Patent Office;

[ ] was filed on [ ] as Application No. [ ];

[ ] was patented under U.S. Patent No. [ ] on [ ].

WHEREAS, **International Business Machines Corporation** (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the **State of New York**, and having a usual place of business at **New Orchard Road, Armonk, New York 01504** desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

---

Inventor Steven I. Ross Date 12/20/01  
Steven I. Ross

Address 24 Cunningham Dr  
S. Hamilton, MA 01982

Witness Julie F. Alweis Julie F. Alweis

Address 26 Park Rd  
Belmont, MA 02478

Witness Robert C. Barnes Robert C. Barnes

Address 1 Bill Graham Lane  
Milbury, MA 01527

---

Inventor Elizabeth A. Brownholtz Date 12/20/01  
**Elizabeth A. Brownholtz**

Elizabeth A. Brownholtz

Date 12/20/01

Address 115 Lovejoy Rd  
Andover MA 01810

Witness Julie F Alweis Julie F Alweis

Address 26 Park Rd  
Belmont, MA 02478

Witness Robert C. Holmes  
Address 1611 Brubank Lane  
Millbury, MA 01527

Inventor \_\_\_\_\_ Date \_\_\_\_\_  
**Jeffrey G. MacAllister**

Jeffrey G. MacAllister

Address \_\_\_\_\_

Witness \_\_\_\_\_

**Address** \_\_\_\_\_

Witness \_\_\_\_\_

**Address** \_\_\_\_\_

ASSIGNMENT

WHEREAS, we, **Steven I. Ross, Elizabeth A. Brownholtz and Jeffrey G. MacAllister** have invented a certain improvement in **Method and Apparatus for Converting Utterance Representations into Actions in a Conversational System**, described in an application for Letters Patent of the United States, the specification of which:

[ X ] is being executed on even date herewith and is about to be filed in the United States Patent Office;

[ ] was filed on [ ] as Application No. [ ];

[ ] was patented under U.S. Patent No. [ ] on [ ].

WHEREAS, **International Business Machines Corporation** (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the State of New York, and having a usual place of business at **New Orchard Road, Armonk, New York 01504** desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

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Inventor \_\_\_\_\_ Date \_\_\_\_\_

**Steven I. Ross**

Address \_\_\_\_\_

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Witness \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Witness \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

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Inventor \_\_\_\_\_ Date \_\_\_\_\_  
**Elizabeth A. Brownholtz**

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Witness \_\_\_\_\_

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Witness \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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Inventor \_\_\_\_\_ Date 12/21/2001  
**Jeffrey G. MacAlister**

Jeffrey G. MacAlister

Address 186 South St.  
Chestnut Hill, MA 02467

Witness Susan M. Lett

Address 186 South St.  
Chestnut Hill, MA 02467

Witness Walter Goldstein

Address 72 Summer Rd  
Brookline MA 02445

---